



## APPLICATION FOR RECORDS RETENTION SCHEDULE

870910-01

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Office of Commissioner of Insurance Agents Licensing Division Computer Operations Room 616, West Tower, Floyd Building Atlanta, Georgia 30334	Application Number	85-69-A
Application Number		Date Received SEP 10 1987	Date Completed FEB 22 1988
2. Person to Contact Debbie Richardson		Working Title Computer Operations Supervisor	Telephone Number 656-4211
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 85-69 Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest July 1983		5. Records Series Title (followed by title used in office, if different) Requests for Certificate of Authority <i>yes 968 12/28/87</i>	
Latest To Date			
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?  The Agents Licensing Division is responsible for the legal licensing of agents, counselors, brokers and adjusters for all classes of insurance by strict enforcement of the qualification requirements for all applicants.  The Computer Operations Section is responsible for batching and processing first-time license applications, renewals, certificate of authority request and annual listings, re-examination permits, permit renewals, bad checks, redeposits and refunds and balancing such with the Fiscal Department. The section, also, processes all insurance examinations and issues and prints licenses, failure notices, permits and letters of certification/clearance letters to agents applying for licenses in other states.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any):  Documents relating to: <i>Processing</i> Certificate of Authority appointments of agents to represent specific companies  Included are: Form GID-122 - Request for Certificate of Authority Batch Control Sheets, Batch Balance Lists and Batch Extract Lists          File is arranged: Chronologically by Fiscal Year; thereunder numerically by assigned Batch number			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>12</u> ; Seven to twelve months old <u>6</u> ; Thirteen to twenty-four months old <u>3</u> ; twenty-five months and older <u>1</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers <u>12</u> ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

		If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
X		j. Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

- |                            |                      |                                   |                      |
|----------------------------|----------------------|-----------------------------------|----------------------|
| a. State Law               | _____ 0 _____ years. | d. Audit period                   | _____ 1 _____ years. |
| * b. Statute of limitation | _____ 2 _____ years. | e. Administrative need            | _____ 7 _____ years. |
| c. Federal law             | _____ 0 _____ years. | f. Federal retention instructions | _____ 0 _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Information is needed to verify receipt of payments, and for reference in the event a certificate is not renewed in one year, but renewal is required in a subsequent year. Also, used in the event legal action is initiated against agents who have not acquired the proper licenses or certificates of authority.

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other Daily then,

- ☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

After information has been put on the computer, records will be microfilmed daily; then 2/18/87  
 After verification, documents will be destroyed.

1 Roll of microfilm will be sent to Archives for security, held for 7 years and destroyed.

1 Roll of microfilm will be held in the office for reference and audit purposes., held for 7 years and destroyed. OK 12/18/87

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<u>Jerry Holbrook</u>	<u>9-4-87</u>	<u>Fred Auders</u>	<u>9-4-87</u>
870910-01		State Records Committee (Signature)	
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	Date
		<u>Edward Weldon</u>	<u>2-2-88</u>
85-69-A		Secretary of State/Designee	Date
		<u>Edward Weldon</u>	<u>2/1/88</u>
		Attorney General/Designee	Date
		<u>Edward Weldon</u>	<u>2/18/88</u>

Addition to item 11b. 870910-01 page 3

These files can be used in the event a person is charged with selling insurance without the proper licenses or authority. The charge, according to O.C.G.A. 33-5-3, would be a misdemeanor. According to O.C.G.A. 17-3-1, the statute of limitation on a misdemeanor is two years.



## APPLICATION FOR RECORDS RETENTION SCHEDULE

850718-11

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section. /

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Office of Comptroller General - Ins. Dept. Agents Licensing Division Computer Operations Rm. 616, West Tower, Floyd Bldg. Atlanta, GA 30334	Application Number	85-69
Application Number		Date Received JUL 18 1985	Date Completed OCT 9 1985
2. Person to Contact Debbie Richardson		Working Title Computer Operations Supervisor	Telephone Number 656-2100
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest      Latest July 1983      To Date		5. Records Series Title (followed by title used in office, if different) Request for Certificate of Authorities	
6. Division and Office Function      What is the function of the Division and the Office in which this record series is created?  The Agents Licensing Division is responsible for the legal licensing of agents, counselors, brokers and adjusters for all classes of insurance by strict enforcement of the qualification requirements for all applicants.  The Computer Operations Section is responsible for batching and processing first-time license applications, renewals, certificate of authority request and annual listings, re-examination permits, permit renewals, bad checks, redeposits and refunds and balancing such with the Fiscal Department. The section also processes all insurance examinations and issues and prints licenses, failure notices, permits and letters of certification/clearance letters to agents applying for licenses in other states.			
7. Record Series Description      This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.  Documents relating to:      the Certificate of Authority appointments of agents to represent specific companies  Included are:      Form GID-122 - Request for Certificate of Authority Batch Control Sheets, Batch Balance Lists and Batch Extract Lists     File is arranged:      Chronologically by Fiscal Year; thereunder numerically by assigned Batch number			
8. Monthly Reference Rate      How often are records referred to which are: One to six months old <u>12</u> ; Seven to twelve months old <u>6</u> ; Thirteen to twenty-four months old <u>3</u> ; twenty-five months and older <u>1</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves <u>8</u> ; Other (specify) _____			

		If not, where is it?
X	b.	Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X	c.	Is this a vital record?
X	d.	Does this series have historical or long term research value?
X	e.	When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
X	f.	Is the information contained in this series ever published? If yes, attach copy.
X	g.	Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X	h.	Is there a duplication of this series in your office, or in another office or agency? If yes, where?
X	i.	Is this series (or a major portion of it) regularly microfilmed?
X	j.	Does the record series result in a computer printout?

# 11. Retention Requirements

The following requires the series to be kept:

a. State Law	0	years.	d. Audit period	1	years.
b. Statute of limitation	2 *	years.	e. Administrative need	3	years.
c. Federal law	0	years.	f. Federal retention instructions	0	years.

\* See attached sheet

Attach copy or excerpt of laws or regulations. Explain administrative need.

Information is needed to verify receipt of payments, and for reference in the event a certificate is not renewed in one year, but renewal is requested in a subsequent year. Also used in the event legal action is initiated against agents who have not acquired the proper licenses or certificates of authority.

# 12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area 6 month(s) \_\_\_\_\_ year(s); then
- ☐ Transfer to local holding area, hold \_\_\_\_\_ year(s); then
- ☒ Transfer to State Records Center; hold 2 1/2 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Jerry Holbrook</i>	7-15-85	<i>Fred Anderson</i>	7/15/85
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>Thomas S. Sney</i>	8-5-85
		<i>Edward Ureda</i>	8/2/85
		<i>Barry S. Sney</i>	10/5/85

Addition to item 11b.

These files can be used in the event a person is charged with selling insurance without the proper licenses or authority. The charge, according to O.C.G.A. 33-5-3, would be a misdemeanor. According to O. C. G. A. 17-3-1, the statute of limitation on a misdemeanor is two years.

(The above alteration to the schedule was made by Harmon Smith and Charles Saxon based on authority granted to Harmon Smith by the Comptroller General's records officer Mickey Anderson in a telephone conversation July 30, 1985.)